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ABSTRACT

The content is outlined and the terminal and enabling objectives are provided for a curriculum area on personnel evaluation (see EM 010 443 and EM 010 463), part of an introduction to psychology and leadership course for the United States Naval Academy (see the final reports which summarize the course development project, EM 010 418, EM 010 419, and EM 010 484). EM 010 420 through EM 010 447 and EM 010 451 through EM 010 512 are related documents. (SM)

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UNITED STATES NAVAL ACADEMY

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP



MAY 1971

PART ELEVEN
PERSONNEL EVALUATION

CONTENT OUTLINE

TERMINAL AND ENABLING OBJECTIVES



Westinghouse Learning Corporation
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2083 West Street
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EM 010 511

United States Naval Academy

ED 071366

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN
PERSONNEL EVALUATION

Content Outline
Terminal and Enabling Objectives

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WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

United States Naval Academy

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INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN
PERSONNEL EVALUATION

Segment I
The Role of Evaluation

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART ELEVEN - PERSONNEL EVALUATION

Segment I - The Role of Evaluation

A. Introduction

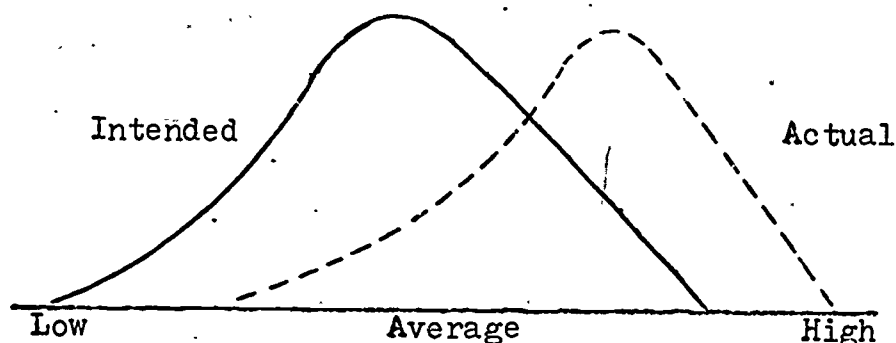
1. **Concept:** Performance evaluation is a systematic appraisal of personnel by their supervisors or others who are familiar with their work performance. The evaluations are recorded on prescribed forms in accordance with specified procedures, become a part of the personnel records of individuals, and are available for use in connection with possible personnel actions. (Tiffin & McCormick, p. 223) Although this segment is concerned primarily with the formal aspects of personnel evaluation, the leader must think of evaluation as a continuing process of observing and appraising the performance of his subordinates in everyday work situations. The formal evaluations, the recording of appraisals on prescribed forms, the discussions with the subordinates--all of these are the culmination of these continuing observations.
2. **Purpose of Evaluation:** The selection for promotion, duty assignments, and education programs (postgraduate school, Armed Forces, Staff College, etc.) Pigors & Myers, 0.390)
3. **Formal Appraisals** (Pigors & Myers, pp.390-391)
 - a. Used to reduce favoritism and snap judgments in personnel decisions
 - b. Although formal appraisals are normally subjective (qualitative) they are not a substitute for objective (quantitative) records (output, quality, etc.) which might be available. (Morgan, pp. 573-575)
4. **Importance of Evaluations to the Navy** (NAVPER 10848-D, p. 179)
 - a. Favorable evaluations provide the incentive and recognition that should retain personnel in the service, while unfavorable evaluations may tend to eliminate the poor performer and encourage the marginal to greater effort.
 - b. Evaluation provides the basis for future personnel action.
 - 1) Duty assignments
 - 2) Selection for promotion of those best fit for assuming increased responsibility

- 3) Determine the need for correction of individual deficiencies
- 4) Eliminate unfit personnel
- c. The Naval officer corps, enlisted personnel, and civilian employes are all part of an organizational structure which forms a pyramid. Since "all cannot reach the top", some systematic and just evaluation method is required.
5. Terms related to evaluation (Wolfe, pp. 76-77)
 - a. Performance
 - 1) What a man does, his actual behavior or output.
 - b. Ability
 - 1) What a man is able to do. Although performance may be the only way of viewing ability, it has a connotation of what he could do now. An example might be a track star whose current sprained ankle inhibits the performance of his ability.
 - c. Aptitude
 - 1) What a man's future or potential abilities and performance are. This term is usually applied before an individual receives training.
 - d. Achievement
 - 1) What a man's past performance or evaluated performance has been.

B. Characteristics of Evaluations

1. Concepts of validity and reliability (Hays & Thomas, pp. 70-71)
 - a. Validity is the degree to which evaluations are truly indicative of the subordinate. How well do they actually measure what they are intended to measure?
 - b. Reliability refers to the consistency of the evaluations. In other words, reliable evaluation techniques will produce consistent results regardless of time or the particular evaluator.
2. Errors in evaluations (Hays & Thomas, pp. 69-70)
 - a. Since evaluation reports are essentially subjective, the following types of human errors tend to appear.

- 1) Halo effect - The tendency to allow a single good trait to influence all other marks favorably, or vice versa for a bad trait
 - 2) Constant error - The tendency to give all subordinates high marks if you are lenient, or to give all subordinates low marks if you are tough
 - 3) Generosity error - This is the general tendency to rate high, making it difficult to distinguish between personnel at the top. This may stem from giving the men "the benefit of the doubt."
- b. The result of the three errors discussed above may shift the distribution of the ratings toward the high end, i.e., the mode of actual distribution may be well above average performance. To what population does the "average" rating belong?



C. Advantage of Evaluations

1. Formalized evaluations force supervisors to analytically and carefully review the performance of their men. (Pigors & Myers, p. 393)
2. Some method of formal appraisal (i.e., officer fitness report) is required, since informal judgments cannot be defended against charges of partiality or personal bias on the part of the evaluator. (Pigors & Myers, p. 398)
3. Evaluations are particularly valuable when they are the result of careful review by several people who know the individual's work. Assign the responsibility for preparation and review of "rough" reports to all the appropriate people in your organization. (Pigors & Myers, p. 62)
4. With reference to seniority as a criterion for promotions, management should have defensible reasons for departing from seniority.

- a. How much weight should seniority carry in decisions of promotion? (Pigors & Myers, p. 398)

Promotion Example

Lt. Fuller is faced with the problem of recommending one man for a promotion. He has two men who have met all the necessary requirements, but he must choose only one. Based on the information presented below, which one of the two men do you believe Lt. Fuller should select?

<u>Personnel Data</u>	<u>Scott</u>	<u>Dinkel</u>
Age	22	30
Years of Navy Experience	2	12
Intelligence	High	Average
Education	2 Years of College	High School
Performance Evaluation (average)	3.6	3.2

5. Supervisors may fool themselves by believing that day-to-day contact with subordinates will make them aware of the merit of their performance. A leader is often shocked to hear a subordinate say, "I was unaware that my performance was poor." (Pigors & Myers, p. 61)
 6. Evaluations help superiors prepare adequately for the periodic discussions on performance which he should have with each of his subordinates. (Pigors & Myers, p. 57)
- D. Limitations or Disadvantages of Evaluations (Pigors & Myers, p. 394)
1. There may exist a reluctance on the part of supervisors to take adequate time and thought to prepare adequate appraisals.
 2. Overly detailed evaluation forms may prove too formidable and may overemphasize small details. Attempt to use simpler forms whenever practical. Supervisors are more likely to complete them in a satisfactory manner.
 3. In the absence of expected standards of performance, evaluations are open to the criticism that they are too subjective.
 4. Periodic evaluations should not become a substitute for constant "coaching", which should exist between superior and subordinate. (Pigors & Myers, p. 398)

E. Alternatives to Present Evaluation Methods (Pigors & Myers, p. 398)

1. Non-systematic appraisals

- a. Informal judgment: This method may be easier but it allows human frailties to enter the picture and does not present a consistent base for evaluation.
- b. Seniority as the sole criterion: This method has obvious disadvantages to management, in that there is less assurance that the organization is maximizing its performance potential.

2. Conclusion

- a. Presently, no adequate alternative to a systematic and uniform method of evaluation exists, if management wants to avoid charges of discrimination or arbitrary action.
- b. In absence of the development of an optimum system or a better system evaluation, the present approaches are the best alternative.

F. Discussion of Evaluation Reports With Personnel

1. Purposes for discussion

- a. Each man has a right to know how he is doing at his work and where he stands in the organization. (Pigors & Myers, p. 393)
- b. Discussions can provide an opportunity for seniors and subordinates to review the possible causes of subordinate ratings which are relatively lower than anticipated, particularly if these conditions have not been discussed previously. (Pigors & Myers, p. 62)
- c. To recognize good performance (Tiffin & McCormick, pp. 262-264)
- d. To warn some employees that they must do better and to point out how and where they can attempt to improve (Tiffin & McCormick, pp. 262-264)

2. Difficulty of discussions (Pigors & Myers, p. 57-61)

- a. Face-to-face talks may be the hardest part of a leader's job, and they may rate high in avoidance.

- b. Supervisors may be willing to go through the paperwork, but can fail badly at having to tell another man how he stands or what he needs to do to improve himself.
- 3. Procedure for discussions (Pigors & Myers, p. 62)
 - a. Begin with the strong points and then continue with the areas in which improvement is needed.
 - b. A superior should learn to be a good listener and may also benefit from the discussion.
- 4. Techniques for discussions (Tiffin & McCormick, pp. 262)
 - a. Tell and sell
 - 1) Good with insecure and inexperienced personnel
 - 2) Risk of stifling upward communication
 - b. Tell and listen
 - 1) Considers subordinates feelings
 - 2) Usually no constructive solution
 - c. Problem-solving
 - 1) Develop a constructive problem-solving approach in the subordinate.
 - 2) Establish a mutual interest between superior and subordinate, i.e., management by mutually established objectives.
 - 3) This approach is well expressed by Douglas McGregor. (McGregor, p. 91-92)

"Effective development of managers does not include coercing them (no matter how benevolently) into acceptance of the goals of the enterprise, nor does it mean manipulating their behavior to suit organizational needs. Rather, it calls for creating a relationship within which a man can take responsibility for developing his own potentials, plan for himself, and learn from putting his plans into action. In the process he can gain a genuine sense of satisfaction, for he is utilizing his own capabilities to achieve simultaneously both his objectives and those of the organization. Unless this is the nature of the relationship, development becomes a euphemism."

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- Wolfe, M.E., et al. Naval Leadership. Menasha, Wis.: George Banta Co., 1967.

Outline
Reference

Terminal and Enabling Objectives

- | | | |
|--------|---|------|
| A.1. | Given several statements, the <u>M</u> will be able to identify the statement which correctly describes the concept of evaluation. | TO 1 |
| A.2. | The <u>M</u> will be able to identify, from several choices, the paragraph which correctly describes the purpose of evaluation. | EO-1 |
| A.3. | The <u>M</u> will be able to identify, from several choices, the statement which describes the purpose of formal appraisals. | EO-2 |
| A.4. | The <u>M</u> will be able to select, from several choices, the paragraph which describes the importance of evaluations to the Navy. | EO-3 |
| A.5. | The <u>M</u> will be able to match the terms: performance, ability, aptitude, and achievement, with their respective definitions. | EO-4 |
| B.2. | Given several examples of performance evaluation, the <u>M</u> will be able to select the one in which the evaluation is truly indicative of the subordinate's performance. | TO 2 |
| B.1.a. | The <u>M</u> will be able to select, from several choices, the correct definition of validity. | EO-1 |
| B.1. | The <u>M</u> will be able to identify, from several choices, the paragraph which correctly describes the meaning of reliability. | EO-2 |

OBJECTIVES

Eleven/I/TO/EO

Outline Reference

Terminal and Enabling Objectives

B.2.a.

The M will be able to select, from several choices, the statements which describe the following evaluation errors:

EO-3

- a. Halo effect
- b. Constant error
- c. Generosity error

B.2.b.

The M will be able to identify, from several choices, the curves which illustrate what the distribution of ratings should look like and what the actual curve looks like.

EO-4

C.

The M will select, from several choices, the statement which describes the advantages of performance evaluations.

TO 3

C.3.

The M will select, from several choices, the statement which describes how the value of evaluations can be increased.

EO-1

D.

The M will be able to identify, from several choices, the limitations or disadvantages of evaluations.

EO-2

E.

Given several statements, the M will identify the statement which describes the conclusion regarding alternatives to present evaluation methods.

TC 4

OBJECTIVES

Eleven/I/TO/EO

Outline
Reference

Terminal and Enabling Objectives

- | | | |
|--------|---|------|
| F.1. | The <u>M</u> will be able to identify, from several choices, the purposes for discussing evaluation reports with personnel. | TO 5 |
|
 | | |
| F. | Given an example of an individual preparing to discuss an evaluation with a subordinate, the <u>M</u> will select, from several choices, the statement which describes how the superior might best structure the discussion based on his evaluation of the situation. | TO 6 |
|
 | | |
| F.3. | The <u>M</u> will be able to identify, from several choices, the paragraph which describes the best procedure to follow when holding an evaluation discussion. | EO-1 |
|
 | | |
| F.4. | Given examples demonstrating the various techniques for discussions, the <u>M</u> will match each to the technique being illustrated ("tell-sell", "tell and listen", or "problem-solving"). | EO-2 |
|
 | | |
| F.4.c. | Given several paragraphs, the <u>M</u> will identify the paragraph which describes the discussion technique of "problem-solving". | EO-3 |

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN

PERSONNEL EVALUATION

Segment II

Enlisted Performance Evaluation

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

ENLISTED PERFORMANCE EVALUATION

A. Introduction (NAVPERS 10848-D, p. 186)

1. The Chief of Naval Personnel has the responsibility for overall administration of enlisted personnel.
2. The administration of personnel performance evaluation is normally delegated to commanding officers and officers in charge.
3. Evaluation reports provide a permanent chronological appraisal of personnel performance.

B. Purposes of Enlisted Performance Evaluations (NAVPERS 10848-D, p. 186)

1. To determine eligibility for reenlistment, honorable discharge, or award of the Good Conduct Medal
2. To permit COs to positively influence the advancement opportunity of outstanding individuals
3. To assist various boards in their selection of personnel for advancement, appointment to commissioned status, and assignment to special duties and educational programs

C. Basis for Measurement

1. Evaluation of personnel is a continuous process based on day-to-day performance.
 - a. Although the enlisted evaluation form only lists the following items for performance evaluation, the rating officer must consider many interrelated factors when arriving at an objective and fair evaluation.
 - 1) Professional performance
 - 2) Military behavior
 - 3) Leadership and supervisory ability
 - 4) Military appearance
 - 5) Adaptability

2. Individuals within a pay grade are evaluated against the performance of others in the same pay grade

D. Preparation of Evaluation Report (NAVPERS 10848-D, p. 187)

1. Enlisted performance evaluations fall into two categories: regular and special. The former are submitted at regular intervals and submission dates vary by pay grade. The latter are used to update for special reports the performance data currently on file. On the next page there is a copy of the NAVPERS 792 form used for both types of evaluation reports. The detailed requirements are listed in the BuPers Manual for the regular and special evaluation reports.
2. Commanding officers are responsible for the final evaluation of enlisted personnel.
3. The initial "rough" evaluation should be made by the appropriate petty officer and reviewed by the division officer and department head.
4. Each evaluation should be based objectively upon the individual's abilities and performance as compared to established standards and the performance of the man's contemporaries. (BuPers Manual, C7821)
5. Any area where the man's performance is judged "extremely effective" or "inadequate" must be justified by written comment.

REPORT OF ENLISTED PERFORMANCE EVALUATION
NAVPERS 792 (Rev. 6-65)
0105 - 901 - 3050

PERIOD OF REPORT

To

NAME (Last, First, Middle)

SERVICE NO.

RATE ADJ.

PRESENT SHIP OR STATION

INSTRUCTIONS

1. For each trait, evaluate the man on his actual observed performance. If performance was not observed, check the "Not Observed" box.
2. Compare him with others of the same rate.
3. If the major portion of his work has been outside his rate or pay grade during this reporting period, evaluate him on what he did. Describe what he did in the "Comments" section.
4. Pick the phrase which best fits the man in each trait and check left or right box under it. (Left box is more favorable.)

1. PROFESSIONAL PERFORMANCE: His skill and efficiency in performing assigned duties (except SUPERVISORY)											
NOT OBSERVED	Extremely effective and reliable. Works well on his own.	Highly effective and reliable. Needs only limited supervision.	Effective and reliable. Needs occasional supervision.	Adequate, but needs routine supervision.	Inadequate. Needs constant supervision.						
<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2. MILITARY BEHAVIOR: How well he accepts authority and conforms to standards of military behavior.											
NOT OBSERVED	Always acts in the highest traditions of the Navy.	Willingly follows commands and regulations.	Conforms to Navy standards.	Usually obeys commands and regulations. Occasionally lax.	Dislikes and flouts authority. Unseamanlike.						
<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3. LEADERSHIP AND SUPERVISORY ABILITY: His ability to plan and assign work to others and effectively direct their activities.											
NOT OBSERVED	Gets the most out of his men.	Handles men very effectively.	Gets good results from his men.	Usually gets adequate results.	Poor supervisor.						
<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4. MILITARY APPEARANCE: His military appearance and neatness in person and dress.											
NOT OBSERVED	Impressive. Wears Naval uniform with great pride.	Smart. Neat and correct in appearance.	Conforms to Navy standards of appearance.	Passable. Sometimes careless in appearance.	No credit to the Naval Service.						
<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5. ADAPTABILITY: How well he gets along and works with others.											
NOT OBSERVED	Gets along exceptionally well. Promotes good morale.	Gets along very well with others. Contributes to good morale.	A good shipmate. Helps morale.	Gets along adequately with others.	A misfit.						
<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	* <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

6. DESCRIPTION OF ASSIGNED TASKS

7. EVALUATION OF PERFORMANCE (E-5 and above include comment on ability in self expression and command, orally and in writing, of the English language)

* 8. THESE ITEMS MUST BE JUSTIFIED BY COMMENTS IN ADDITION TO THOSE IN ITEM 7 ABOVE

9. REASON FOR REPORTING

☐ SEMIANNUAL ☐ TRANSFER ☐ OTHER

10. DATE

11. SIGNATURE OF REPORTING SUPERIOR

NAVPERS FORM 792 (Front)

WYPER'S 702 (REV. 6-65) BACK-

12. SERVICE SCHOOL(S) ATTENDED DURING PERIOD OF THIS REPORT

INCLUSIVE DATES	SCHOOL	GRADUATED (YES-NO)	CLASS STANDING

13. SPECIAL QUALIFICATIONS NOT INDICATED BY RATING OR PRIMARY NEC ATTAINED DURING PERIOD OF THIS REPORT

14. OFF-DUTY EDUCATIONAL ACHIEVEMENTS (USAFI, college courses, correspondence courses, etc.) COMPLETED DURING PERIOD OF THIS REPORT.

• GPO 872-507

NAVPERS FORM 792 (Back)

-11.2.4-

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Part Eleven - Segment II

Bureau of Naval Personnel Manual. Chapter 7, C7821.

NAVPER 10848-D, Personnel Administration. U. S. Government
Printing Office, Washington, 1967.

OBJECTIVES

Eleven/II/TO/EO

Outline
Reference

Terminal and Enabling Objectives

- | | | |
|----------|---|------|
| B.1.1.3. | The <u>M</u> will be able to select, from several choices, the paragraph which describes the purposes of enlisted performance evaluation. | TO 1 |
| A.3. | Given several statements, the <u>M</u> will select the statement which describes a major use of enlisted evaluation reports. | EO-1 |
| C. | The <u>M</u> will be able to identify, from several choices, the paragraph which correctly describes the basis upon which enlisted men are evaluated for their performance. | TO 2 |
| D. | Given a military situation which calls for an evaluation report to be made, the <u>M</u> will select, from several choices, the type of report which should be made. | TO 3 |
| D.1. | The <u>M</u> will select, from several choices, the types of evaluation reports. | EO-1 |
| D.1. | Given several choices, the <u>M</u> will select the statement which describes the basic difference between regular and special reports. | EO-2 |
| D.1. | The <u>M</u> will be able to identify, from several choices, the situations which call for a regular and special report. | EO-3 |

OBJECTIVES

Eleven/II/TO/EO

Outline--
Reference

Terminal and Enabling Objectives

- | | | |
|------|---|------|
| D. | Given a list of steps in the preparation of evaluation reports, the <u>M</u> will be able to identify those steps which are appropriate. | TO 4 |
| D.2. | The <u>M</u> will select, from several choices, the persons responsible for evaluation of enlisted personnel at various stages (i.e., from rough to final). | EO-1 |
| D.4. | Given several statements, the <u>M</u> will be able to identify the statement which describes the factors of comparison which are utilized to evaluate a man's abilities and performance. | EO-2 |
| D.5. | Given several statements, the <u>M</u> will select the statement which describes the action to be taken when an individual's performance has been judged "extremely effective" or "inadequate". | EO-3 |

United States Naval Academy

INTRODUCTION TO PSYCHOLOGY AND LEADERSHIP

PART ELEVEN
PERSONNEL EVALUATION

Segment III
Officer Evaluation

WESTINGHOUSE LEARNING CORPORATION

Annapolis, Maryland

1971

PART ELEVEN - PERSONNEL EVALUATION

Segment III - Officer Evaluation

A. Introduction (NAVPERS 10848-D, p. 179)

1. The Secretary of the Navy is responsible for decisions on officer promotions, discharges, and retirements.
2. Administration of officer personnel is closely controlled by federal law. (Officer Personnel Act of 1947) (NAVPERS 10848-D, pp. 12-13)
3. Administrative procedures have been developed concerning the evaluation of officer personnel to implement the federal law. (BuPers Manual, B2203)

B. Fitness Report

1. Importance: Efficiency reports are necessary for evaluating the relative merits of officers of the same experience. (Ageton & Mack, pp. 209-210)
2. Purpose: Fitness reports provide a running report for selection boards and guidance for detail officers. They serve the following specific purposes:
 - a. Show duties performed.
 - b. Show manner of duties performed.
 - c. Show qualities of leadership.
 - d. Provide record of current qualifications.
 - e. Provide opinion of officer's all-around ability and value.
 - f. Show professional qualifications and qualifications for promotion.
 - g. Show commendatory or disciplinary action taken.
 - h. Show general state of health and personal characteristics. (Ageton & Mack, pp. 209-210)
3. Since fitness reports are the primary basis for selecting officers for promotion and assignment, it is essential that reporting seniors provide realistic objective evaluations. The failure to perform this obligation is an injustice to the careers and opportunities of the able and competent. (NAVPERS 10848-D, pp. 179-180)

4. The fitness report seeks to obtain the reporting senior's opinion of the characteristics of the officer reported on, both as an individual considered separately and as a member of a group having comparable age, status, and experience. (NAVPERS 10848-D, pp. 179-180)

C. Leadership Evaluation Factors (Hays & Thomas, pp. 62-63)

1. A summary of leadership literature by Ralph M. Stogdill concludes that there are six factors associated with leadership.

a. Capacity

- 1) Mental ability correlates consistently with leadership; intelligence tests are a reliable prediction for leadership selection.
- 2) Intelligence testing is used to a limited degree in the Navy. Therefore, a subjective evaluation of an officer's alertness, verbal facility, originality, or judgment is often used to infer intelligence.

b. Achievement

- 1) Easier variable to measure since an individual's past accomplishments are a matter of record.
- 2) Such things as educational achievement, special skill, and athletic accomplishments are considered.

c. Responsibility

- 1) The measure of responsibility is derived from an intimate knowledge of his performance.
- 2) The traits often used to measure responsibility are:
 - a) Dependability.
 - b) Initiative.
 - c) Persistence.
 - d) Aggressiveness.
 - e) Self-confidence.
 - f) Desire to excel.

(Note: The above terms are closely associated with the terminology used in the officer's fitness report, NAVPERS 310)

d. Participation

- 1) Best measured subjectively by close association with the individual
- 2) Traits used to measure participation
 - a) Sociability
 - b) Adaptability
 - c) Spirit of cooperation
 - d) Sense of humor

e. Status

- 1) Degree of participation in social interaction
- 2) In a military organization, status is closely related to rank, and in that sense, status is objective and easy to measure.

f. Situation

- 1) The characteristics of the group being led are a part of the situation. An awareness of the follower's mental level, status, skills, needs, and interests becomes significant.
- 2) The objectives to be achieved should be considered. A commander must determine which type of leader is best suited for a particular leadership task involving a certain group with a given mission.

D. Responsibility for Fitness Reports

1. Responsibility is shared by the officer reported on and his reporting senior; the former for submitting his portion of the form to his senior, and the latter for submitting the completed report to the Chief of Naval Personnel. (NAVPERS 10848-D, p. 180)
2. Advice for reporting officers (Ageton & Mack, pp.211-212)
 - a. Fitness reports are decisive in an officer's career.
 - b. Fitness reports can influence the efficiency of the entire service.
 - c. Be aware of current standards of marking that prevail in the service.

- d. Some say it is a senior's most important duty.
- e. Be as impersonal as possible.
- f. Do not take it lightly. The task of doing a good job in fitness reports is very challenging for the reporting officer.
- g. The following quote from the Naval Officer's Guide expresses this aspect of responsibility:

When you are making out Fitness Reports, you are alone with a piece of paper, God, and your own conscience. I make it a practice to throw out all partisanship, insofar as is humanly possible, and try to evaluate the officer concerned as accurately as I can, keeping in mind the standard of marks and remarks that prevail in the service today. I consider making out these reports the most important single duty that I perform. If I allow myself to be influenced by friendship, because an ineffective young lad has a likeable personality, I do the Navy an injustice. If I allow my personal antipathy for some officer to influence me against him, when he is doing a superior job, I am doing that officer an injustice. I honestly attempt to be impartial. On how well other reporting officers and I succeed depends in a large measure how effective our officer corps will be. It is our duty to do this job well.

- 3. Discussion of the fitness report with the officer being evaluated (NAVPERS 10848-D, p. 181)
 - a. Navy regulations prohibit inclusion of any adverse matter without giving the officer an opportunity to make a statement concerning the matter.
 - b. It is optional that the reporting officer in the Navy review the reports with the officer concerned (LCDR and above). However, he must show fitness reports to all officers, rank of W-1 through Lieutenant. The reporting officer in the Marine Corps cannot show the actual report, unless it is unsatisfactory in any respect, although he may discuss any shortcoming. If it is unsatisfactory, he must refer the report to the officer reported on. This affords the junior the opportunity to make a statement should he desire, and certify, as required, that he has seen the completed report.
 - c. The value of a senior's discussing a fitness report with the officer reported on is dependent on the considerations covered in Part II, Segment I.

4. Meaning of fitness reports to the junior officer (Ageton & Mack, pp. 212-213)

- a. An evaluation of merits and demerits
- b. A junior officer may review his reports at the Bureau of Naval Personnel in Washington. He can learn many lessons about himself. Except in a very unusual case, the reporting senior is sincere and accurate.
- c. Junior officers learn to look at themselves as others see them, an opportunity not everybody can readily obtain.
- d. If a junior officer does the job to the best of his ability, tries to do it better, goes out and looks for opportunities, he will not have to worry about his fitness reports; they will take care of themselves.

E. Preparation of Fitness Reports (NAVPERS 10848-D, pp. 180-181)

1. Schedule of preparation

- a. Regular periodic reports are submitted annually for lieutenants and above and semi-annually for lieutenants (junior grade) and below.
- b. Upon completion of temporary duty
- c. Upon detachment of an officer or his regular reporting senior
- d. Special cases such as a general court-martial, serious misconduct, or when directed by higher authority

2. The fitness report form, NAVPERS 1611/1, has a worksheet and a smooth report. (Student will be furnished with copies of the Report on Fitness of Officers, NAVPERS 1611/1; the Marine Officer Fitness Report, NAVMC 10147 Rev 6-63.

3. Begin rough reports with the officer's immediate superior and proceed up the chain of command to the reporting senior. (BuPers Inst. 1611.12A)

F. Selection and Promotion (NAVPERS 10848-D, pp. 184-185)

- 1. The major principle of Naval officer promotion is that of "promotion by selection", as distinguished from "promotion by seniority."
- 2. The Secretary of the Navy convenes a selection board (once a year for each grade) and charges it with selection of a specified number of officers for promotion from a list of furnished names.

3. The report of the selection board is submitted to the Secretary of the Navy for his recommendation and submitted to the President.
4. The grade distribution limits and normal promotion flowrate written into the law are calculated to force attrition at each promotion point from lieutenant through captain.
5. Officers who twice fail selection are required by law to be honorably discharged. Lieutenant Commanders, Commanders, and Captains may continue to serve and remain eligible for promotion up to 20, 26, and 30 years of total commissioned service, respectively.

G. Distinction Between USN and USMC Fitness Reports

1. The Formats are different.
2. Some of the areas evaluated are unique to the particular service.
 - a. USN includes an evaluation of ship handling capabilities by an officer.
 - b. USMC includes an evaluation of the tactical handling of troops by an officer.

REPORT ON THE FITNESS OF OFFICERS

(Refer to BUPERSINST 1611 Series)

1. NAME (Last, first, middle)		2. GRADE	3. DESIGNATOR	4. SSAN	5. FILE NUMBER		
6. SHIP OR STATION (for which duty evaluated was performed)			7. DATE REPORTED THIS DUTY STATION				
8. OCCASION FOR REPORT <input type="checkbox"/> PERIODIC <input type="checkbox"/> DETACHMENT OF REPORTING SENIOR <input type="checkbox"/> DETACHMENT OF OFFICER		9. TYPE OF REPORT <input type="checkbox"/> REGULAR <input type="checkbox"/> CON-CURRENT <input type="checkbox"/> SPECIAL		10. PERIOD OF REPORT FROM: TO:			
11. DUTIES: (Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report - list Primary duties first. For reports based on other than "Close Observation" indicate after Primary duty the number of months duties assigned followed by the number of months duties were performed physically separated from the reporting senior, if applicable. (e.g., 6/4). Indicate inclusive dates of periods of non-availability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append supplemental sheet for this purpose if space is inadequate.)							
12. EMPLOYMENT OF COMMAND (DEPARTMENT/DIVISION/UNIT) DURING PERIOD OF THIS REPORT: (The setting in which officer displayed his abilities - Do NOT use code, name, unusual or extreme abbreviations)							
13. GENERAL INSTRUCTIONS (a) ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.), AND APPROXIMATE TIME IN GRADE WHEN YOU HAVE KNOWN. (b) A MARK IN THE HIGHEST MARKING BOX OF SECTION 16A1 CONSTITUTES A NOMINATION FOR ACCELERATED PROMOTION AHEAD OF YEAR GROUP. SUCH A REPORT, IF NOT COMPLETED BY A FLAG OFFICER, MUST BE FORWARDED VIA THE NEXT SENIOR IN THE CHAIN OF COMMAND FOR REVIEW AND ENDORSEMENT ON SUPPLEMENTAL FORM NAVPERS 1611/2 (REV. 12-65). (c) REPORTS ON CERTAIN CAPTAINS, IF NOT COMPLETED BY A FLAG OR GENERAL OFFICER, MUST BE FORWARDED VIA THE FIRST FLAG OR GENERAL OFFICER IN THE CHAIN OF COMMAND, FOR ENDORSEMENT AND COMMENT REGARDING FLAG POTENTIAL. USE SUPPLEMENTAL FORM NAVPERS 1611/2. (REV. 12-65).							
14. Entries on this report are based on which one of the following relationships? <input type="checkbox"/> Close Observation <input type="checkbox"/> Frequent Observation <input type="checkbox"/> Infrequent Observation <input type="checkbox"/> Records and Reports Only							
15. PERFORMANCE OF DUTIES: (Indicate evaluation by "X" in appropriate marking column for each rate and provide supporting comments in Section 21)							
(Details of duties noted in Section 11)	NOT OBS OR N.A.	Outstanding performance.	Excellent performance. Frequently demonstrates outstanding performance.	Very good performance. Frequently demonstrates excellent performance.	Satisfactory performance. Basically qualified.	Inadequate performance. He is not qualified. (Adverse)	
(A) EVALUATION OF OVERALL PERFORMANCE OF ALL DUTIES ASSIGNED							
(1) SHIPHANDLING AND SEAMANSHIP							
(2) AIRMANSHIP							
(3) SUBSPECIALTY/SPECIALTY (IDENTIFY)							
(4) MANAGEMENT							
(5) AS WATCH/DUTY OFFICER							
16. DESIRABILITY: Indicate your attitude toward having this officer under your command in the following categories of assignments:							
CATEGORIES	NOT OBS	Particularly desire	Prefer to most	Pleased to have	Satisfied to have	Prefer not to have (Adverse)	
(a) COMMAND							
(b) OPERATIONAL							
(c) STAFF							
(d) JOINT/OSO							
(e) FOREIGN SHORE							
17. FUTURE ASSIGNMENT: Based on your observation of this officer's capacity for accepting increased responsibility, for what type of duty do you consider him best qualified for future assignment - see and check? (Indicate assignment in a subspecialty for which best fitted) Consent, if appropriate							
(a) SEA							
(b) SHORE							
18. OVERALL EVALUATION:							
(a) BASED ON YOUR OBSERVATION OF THIS OFFICER'S PERFORMANCE AND CONSIDERING EVERYTHING THAT YOU KNOW ABOUT HIM, HOW WOULD YOU DESCRIBE HIM?	NOT OBS	1. NOMINATE FOR ACCELERATED PROMOTION	One of the top 10%	An excellent officer of great value to the service	A fine and typically effective officer	Entirely satisfactory in present grade	Unsatisfactory (Adverse)
19. NAME, GRADE, FILE NUMBER, DESIGNATOR, AND TITLE OF REPORTING SENIOR							

Report on the Fitness of Officers NAVPERS 1611/1
(Front)

OFFICER EVALUATION

NAVPERS 1611/1 (Rev. 12-59) (BACK)

20. PERSONAL CHARACTERISTICS: To what degree has this officer exhibited the following qualities?

MARKING INSTRUCTIONS Assign a mark of "X" in the appropriate column for each quality.	NOT OBSERVED	NOT EXCELLENT	NOT GOOD	NOT SATISFACTORY	SATISFACTORY	EXCELLENT	SUPERIOR	OUTSTANDING	EXCEPTIONAL
(a) PROFESSIONAL KNOWLEDGE (Comprehension of all aspects of the profession)									
(b) MORAL COURAGE (To do what he ought to do regardless of consequences to himself)									
(c) LOYALTY (His faithfulness and allegiance to his shipmates, his command, the service and the nation)									
(d) DUTY (The positive and enthusiastic manner with which he fulfills his responsibilities)									
(e) INITIATIVE (His willingness to seek out and accept responsibilities)									
(f) INDUSTRY (The zeal exhibited and energy applied in the performance of his duties)									
(g) IMAGINATION (Resourcefulness, creativeness, and capacity to plan constructively)									
(h) JUDGMENT (His ability to develop correct and logical conclusions)									
(i) ANALYTICAL ABILITY (Logical incisiveness which discriminates between assumption, fact, and hypothesis)									
(j) DECISIVENESS (The ability to act rationally and with dispatch within limits of authority assigned or delegated)									
(k) RELIABILITY (The dependability and thoroughness exhibited in meeting responsibilities)									
(l) COOPERATION (His ability and willingness to work in harmony with others)									
(m) PERSONAL BEHAVIOR (His demeanor, disposition, sociability and sobriety)									
(n) MILITARY BEARING (His attitude, carriage, correctness of uniform, correctness of appearance and physical fitness)									
(o) SELF-EXPRESSION (ORAL) (His ability to express himself orally)									
(p) SELF-EXPRESSION (WRITTEN) (His ability to express himself in writing)									

21. COMMENTS: Make specific comments consistent with marks in other sections. Mention strengths, special accomplishments, or weaknesses. Emphasize displayed potential for professional development and leadership ability and potential for assuming greater responsibilities and promotion. Support nominations for accelerated promotion fully. Comment upon degree of attainment of objectives for which subordinate was accountable. When applicable: comment upon efforts and effectiveness in retention/recruitment of quality personnel; upon economy displayed by effective use of manpower/material; attention to and use of good material maintenance procedures and engineering practices. Comment on performance in, and contribution to, subspecialty, if appropriate. Mention attainment of specific qualifications (e.g., OOD Underway, plane commander, submarine or destroyer command, etc.). (THIS SPACE MUST NOT BE LEFT BLANK)

22. ADMINISTRATIVE ACTION: (Each question in this section must be answered)	(a) Significant weaknesses should be discussed with the officer-- Has this been done?	<input type="checkbox"/> YES <input type="checkbox"/> NO (Explain in Section 21)	<input type="checkbox"/> NO SIGNIFICANT WEAKNESSES NOTED
	(b) What has been the trend of his performance since your last report?	<input type="checkbox"/> FIRST REPORT <input type="checkbox"/> IMPROVING <input type="checkbox"/> CONSISTENT <input type="checkbox"/> DECLINING (Have discussion with officer)	
	(c) Has the officer seen this report?	<input type="checkbox"/> YES <input type="checkbox"/> NO	In the interest of maintaining effective communications with subordinates, reporting seniors are encouraged to discuss this report with the officer, but not necessarily show it to him.
	(d) Communications which are a direct reflection of this officer's performance should be considered in making comments in Section 21. Such communications may be forwarded separately for file in his Selection Board Jacket. Exception. A copy of a letter of censure (including appeal and denial) must be appended to the first fitness report submitted after it becomes final.		Has this been done?
	(e) Reports containing matter of an adverse nature (in marks or comments or appended) must be referred for statement pursuant to Navy Regulations. Statement of officer must be endorsed and attached to this report.		<input type="checkbox"/> YES <input type="checkbox"/> NO
23. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR		Concurrent and special reports must be forwarded via the officer's regular reporting senior. To avoid possible loss or misrouting of a concurrent or special report, the receipt form must be mailed direct to B.Pers as the concurrent or special report is forwarded to the regular reporting senior.
24. DATE NOTED AND FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR OR CONCURRENCE OF SPECIAL REPORT		

GPO 845-710

A-14001

Report on the Fitness of Officers NAVPERS 1611/1
(Back)

OFFICER EVALUATION

OFFICER FITNESS—REPORT—U.S. MARINE CORPS (1611)

NAVMC 10147 (REV. 6-63)
(SUPERSEDES 9-57 AND 4-61 EDITIONS WHICH WILL BE USED)

SECTION A

EMBOSSSED PLATE IMPRESSION (Name, Grade, Service No., MOS's)		EMBOSSSED PLATE IMPRESSION (Organization)	
01. NAME (Last) (First) (Middle initial)		GRADE	SERVICE NO.
		USMC	
02. ORGANIZATION			
03. PRIMARY MOS		ADDITIONAL MOS's	
04. OCCASION FOR THIS REPORT (Check appropriate box)			
<input type="checkbox"/> SEMIANNUAL <input type="checkbox"/> DETACHMENT OF OFFICER REPORTED ON (Enter unit or station to which detached, below) <input type="checkbox"/> CHANGE OF REPORTING SECTION <input type="checkbox"/> CONCURRENT REPORT <input type="checkbox"/> OTHER (Explain below)			
05. PERIOD COVERED: FROM (Day, month, year)		TO (Day, month, year)	MONTHS
06. PERIODS OF UNAVAILABILITY (30 DAYS OR MORE) (Explain)			
07. DUTY ASSIGNMENTS DURING PERIOD COVERED: A. REGULAR (Dates, descriptive title, and duty MOS)			
B. ADDITIONAL (Descriptive title and number of months)		MARKSMANSHIP QUALIFICATIONS (Lieutenants and Captains)	
08. WIFE'S ADDRESS			
09. AGE, RELATIONSHIP OF DEPENDENTS REQUIRING TRANSPORTATION			
10. OFFICER'S PREFERENCE FOR NEXT ASSIGNMENT (1st choice)			
(2nd choice)		(3rd choice)	
SIGNATURE OF OFFICER REPORTED ON			DATE

SECTION B (To be completed by reporting senior)

11. NAME AND GRADE OF REPORTING SENIOR		12. DUTY ASSIGNMENT	
US			
13. RECOMMENDATIONS FOR OFFICER'S NEXT DUTY ASSIGNMENT			
14. DURING THE PERIOD COVERED BY THIS REPORT—			
(a) Has the work of this officer been reported on in a commendatory way?		YES	NO
(b) Has the work of this officer been reported adversely?			
(c) Was this officer the subject of any disciplinary action that should be included on his record?			
If YES in (a), (b), or (c), and a report has NOT been submitted to the CMC, attach separate statement of nature and attendant circumstances. If a report has been submitted to the CMC, reference such report below:			
15. A. ENTRIES ON THIS REPORT ARE BASED ON (Check appropriate box)		15. B. TO BE COMPLETED ON ORGANIZED RESERVE OFFICERS	
<input type="checkbox"/> DAILY CONTACT AND CLOSE OBSERVATION OF THIS OFFICER'S WORK <input type="checkbox"/> FREQUENT OBSERVATIONS OF THIS OFFICER'S WORK <input type="checkbox"/> INFREQUENT OBSERVATIONS OF THIS OFFICER'S WORK		ATTENDED _____ OF _____ SCHEDULED DRILLS	

* If embossed plate impression is used, do not complete items 1, 2, and 3.

Officer Fitness Report--U.S. Marine Corps NAVMC 10147-PD (Rev. 6-63)
(Front)

REFERENCES

Part Eleven - Segment III

Ageton, A.A. & Mack, W.P. The Naval Officer's Guide. Menasha, Wis.: George Banta Co., 1967.

Bureau of Naval Personnel Instruction 1611.12A, 18 May 1968.

Bureau of Naval Personnel Manual. Chapter 2, B2203.

Hays, S.H. & Thomas, W.N. (Eds). Taking Command. Harrisburg, Pa.: Stackpole Books, 1967.

NAVPERS 10848-D, Personnel Administration. Washington, D.C.: Government Printing Office, 1967.

OBJECTIVES

Eleven/III/TO/EO

Outline
Reference

Terminal and Enabling Objectives

- | | | |
|--------|--|------|
| A. | Given several statements about the administration of officer personnel, the <u>M</u> will be able to select the statement which correctly describes the responsibility and administrative procedures concerning the evaluation of officer personnel. | TC 1 |
|
 | | |
| A.1. | Given a list of titles, the <u>M</u> will select the title of the person responsible for decisions on officer promotions, discharges, and retirements. | EO-1 |
|
 | | |
| A.2. | The <u>M</u> will be able to identify, from several choices, the statement which correctly identifies the reason for development of administrative procedures for officer evaluation. | EO-2 |
|
 | | |
| B. | Given several statements about fitness reports, the <u>M</u> will be able to select the statement which correctly defines the general purpose and importance of fitness reports. | TO 2 |
|
 | | |
| B.2. | The <u>M</u> will be able to identify, from several choices, the statements which correctly describe the specific purposes of fitness reports. | EO-1 |
|
 | | |
| B.2.3. | The <u>M</u> will be able to identify, from several choices, the statement which correctly identifies the probable consequences of failure to provide realistic, objective officer evaluations. | EO-2 |

OBJECTIVES

Eleven/III/TO/EO

Outline
Reference

Terminal and Enabling Objectives

- | | | |
|--------|--|------|
| C. | Given an example of a leadership evaluation, the <u>M</u> will be able to identify, from several choices, the statement which correctly describes the leadership evaluation factors utilized in the example. | TO 3 |
| C.1. | The <u>M</u> will be able to select, from a list of alternatives, the factors associated with leadership evaluation. | EO-1 |
| C.1.a. | The <u>M</u> will be able to identify, from several choices, the statement which correctly describes capacity as an evaluation factor. | EO-2 |
| C.1.b. | The <u>M</u> will be able to identify, from several choices, the statement which correctly describes achievement as an evaluation factor. | EO-3 |
| C.1.c. | Given a list of terms, the <u>M</u> will be able to select those which describe the traits often used to measure responsibility. | EO-4 |
| C.1.d. | Given a list of terms, the <u>M</u> will be able to select those which describe the traits used to measure participation. | EO-5 |
| C.1.e. | The <u>M</u> will be able to select, from several choices, the statement which correctly describes status as an evaluation factor. | EO-6 |

OBJECTIVES

Eleven/III/TO/EO

Outline Reference

Terminal and Enabling Objectives

- C.1.f. The M will be able to identify, EO-7
from several choices, the statement
which best describes how the
situation corresponds to an
evaluation factor.
- D.1. Given a military situation involving an TO 4
officer who is being evaluated and his
reporting senior, the M will select,
from several choices, the statement
which identifies the officer, in the
situation, who is responsible for the
fitness report.
- D.2. Given a list of statements EO-1
about fitness reports, the M
will be able to select those
which can be used as guides
for the reporting officer.
- D.3. The M will be able to identify, EO-2
from several choices, the statement
which correctly explains the
procedure followed in discussing
the fitness report with the officer
(USN or USMC) being evaluated.
- E. Given a list of statements, the M will be TO 5
able to select, in sequence, the steps a
leader should follow in preparing a fitness
report.
- E. The M will be able to select, from EO-1
several choices, the statement
which correctly describes the
schedules for the preparation
of fitness reports.

OBJECTIVES

Eleven/III/TO/EO

Outline Reference

Terminal and Enabling Objectives

- D.4. The M will be able to select, from EO-2
several choices, the statement
which best explains the meaning
of fitness reports to the junior
officer.
- F. The M will be able to identify, from TO 6
several choices, the statement which
correctly describes the Navy's policy
regarding selection and promotion.
- G. The M will be able to identify, from TO 7
several choices, the distinction between
the USN and the USMC fitness reports.